

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

## Mail Stop Patent Application

Commissioner for Patents

P.O. Box 1450

Alexandria, VA 22313-1450

17497 U.S. PTO  
10/776481

Transmitted herewith for filing under 37 CFR 1.53(b) are the specification and claims of the nonprovisional patent application of:

Toshiki YAMANAKA

Inventor(s)

A SEMICONDUCTOR MEMORY DEVICE

Title of Invention

## APPLICATION ELEMENTS ENCLOSED:

1. X Specification, total pages 39 including:
  - a. 5 pages of claims (8 claims)
  - b. 1 page(s) Abstract
2. X 10 sheets of      informal X formal drawings (Figs. 1-15)
3.      Oath or declaration of Applicant(s) (      total pages)
  - a.      Newly executed (original)
  - b.      Unexecuted
  - c.      Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Item 14 completed)
4.      Deletion of Inventor(s)  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b)
5.      Incorporation By Reference  
The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied in item 3b is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.
6.      Microfiche Computer Program (Appendix)

## APPLICATION PARTS ENCLOSED:

7.      An assignment (cover sheet & document(s))
8.      37 CFR 3.73(b) Statement (*when there is an assignee*)
9.      Power of Attorney
  - a.      Newly executed (original)
  - b.      Unexecuted
  - c.      Copy from a prior application

10. X Information Disclosure Statement (IDS)/PTO-1449

X Copies of IDS Citations

11.      A Preliminary Amendment

12. X Return Receipt Postcard (MPEP 503)

13.      Applicant(s) hereby establish small entity status under 37 C.F.R. §1.9 and §1.27

14.      If a Continuing Application, *check the appropriate box and supply the requisite information:*

☐

Continuation of prior application No.: \_\_\_\_\_ filed \_\_\_\_\_

☐

Divisional of prior application No.: \_\_\_\_\_ filed \_\_\_\_\_

☐

Continuation-in-part (CIP) of prior application No.: \_\_\_\_\_ filed \_\_\_\_\_

15.      Amend the specification by inserting before the first line of page one: --This is a      continuation  
\_\_\_\_\_ divisional of application Serial No. \_\_\_\_\_ filed \_\_\_\_--

16. X Priority of application No. 2003-036535 filed in Japan on February 14, 2003. Applicant hereby claims  
priority under 35 U.S.C. §119.

X A certified copy of priority application No. 2003-036535 is enclosed herewith.

     A certified copy of priority application No. \_\_\_\_\_ has been filed in prior application  
S.N. \_\_\_\_\_ filed \_\_\_\_\_

17.      Other (identify) \_\_\_\_\_

The filing fee is calculated as follows:

CLAIMS AS FILED, LESS ANY CLAIMS CANCELLED BY AMENDMENT

					Rate			Fee	
	Number Filed		Number Extra*		Small Entity	Other Entity		Small Entity	Other Entity
Total Claims	8 - 20	=	0	X	\$9	\$18	=	\$0	\$0
Indep. Claims	1 - 3	=	0	X	\$43	\$86	=	\$0	\$0
Multiple Dependent Claims Presented: Yes <u>    </u> No <u>X</u>					\$145	\$290	=	\$0	\$0
If the difference in column 1 is less than zero, enter "0" in column 2					Basic Fee			\$385.00	\$770.00
					Total Fee			\$	\$770.00

18. X A check in the amount of \$770.00 to cover the filing fee.
19.     A check in the amount of \$        for recordation of the Assignment.
20. X The Commissioner is hereby authorized to charge any additional fees which may be required in connection with the following or credit any overpayment to Deposit Account No. 03-3125.
- X Filing fees under 37 C.F.R. §1.16.
- X Patent application processing fees under 37 C.F.R. §1.17.
- The issue fee set in 37 C.F.R. §1.18 at or before mailing of the Notice of Allowance, pursuant to 37 C.F.R. §1.311(b).
21. X Three copies of this sheet are enclosed.
22.     Other (identify) \_\_\_\_\_

CORRESPONDENCE ADDRESS:

Ivan S. Kavrukov, Esq.  
Registration No. 25,161  
Cooper & Dunham LLP  
1185 Avenue of the Americas  
New York, New York 10036  
United States of Americas  
Tel.: (212) 278-0400  
Fax: (212) 391-0525

Respectfully submitted,

February 10, 2004  
Date

  
\_\_\_\_\_  
Paul Teng, Reg. No. 40,837  
Attorney for Applicant  
Cooper & Dunham LLP  
1185 Avenue of the Americas  
New York, New York 10036  
Tel.: (212) 278-0400

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application of: Toshiki YAMANAKA  
Serial No. : Not Yet Known  
Date Filed : Herewith  
For : A SEMICONDUCTOR MEMORY DEVICE

**Mail Stop Patent Application**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

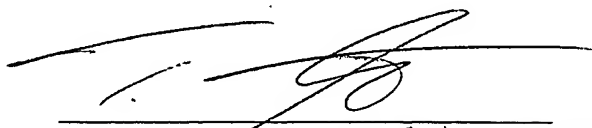
Sir:

**EXPRESS MAIL LETTER OF TRANSMITTAL**

Express Mail mailing label number: EV305642177US

Date of Deposit: February 10, 2004

I hereby certify that the above-identified application of Toshiki YAMANAKA, filed herewith, including Specification (39 pages), Claims (1-8, 5 pages), Abstract (1 page), 10 sheets of formal drawings (Figs. 1-15), Information Disclosure Statement (including Form PTO-1449 and copies of references), certified copy of Japanese Patent Application No. 2003-036535, application transmittal in triplicate, a check in the amount of \$770.00 for filing fee and a returned stamped postcard, is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR §1.10 on the date indicated above and is addressed to the Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria VA 22313-1450.

  
Mail Room Employee  
Depositing Express Mail Material

Attorneys for Applicant:  
IVAN S. KAVRUKOV, Reg. No. 25,161  
PAUL TENG, Reg. No. 40,837  
Cooper & Dunham LLP  
1185 Avenue of the Americas  
New York, New York 10036  
Tel: (212) 278-0400